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**TRANSMITTAL
FORM**

(to be used for all correspondence after initial filing)

Total Number of Pages in This Submission

Application Number

10/720,247

Filing Date

11/24/2003

First Named Inventor

Daniel E. Resasco, et al.

Art Unit

1754

Examiner Name

S. Hendrickson

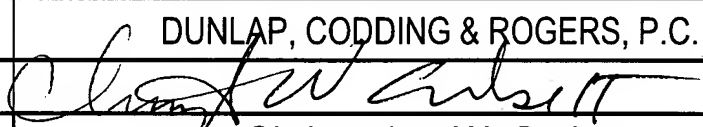
Attorney Docket Number

7356.005

ENCLOSURES (Check all that apply)

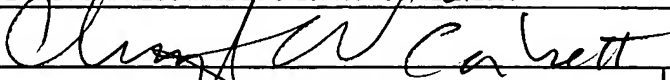
<input type="checkbox"/> Fee Transmittal Form	<input type="checkbox"/> Drawing(s)	<input type="checkbox"/> After Allowance Communication to TC
<input type="checkbox"/> Fee Attached	<input type="checkbox"/> Licensing-related Papers	<input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences
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<input type="checkbox"/> Affidavits/declaration(s)	<input type="checkbox"/> Power of Attorney, Revocation of POA, Change of Correspondence Address	<input type="checkbox"/> Status Letter
<input type="checkbox"/> Extension of Time Request	<input type="checkbox"/> Terminal Disclaimer	<input checked="" type="checkbox"/> Other Enclosure(s) (please identify below):
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<input type="checkbox"/> Reply to Missing Parts/ Incomplete Application	Remarks	
<input type="checkbox"/> Reply to Missing Parts under 37 CFR 1.52 or 1.53	1. Transmittal Form (1 page); 2. Fourth Supplemental IDS (3 pages); 3. Fourth Supplemental Form 1449 (1 page); 4. Copies of non-patent documents; and 5. Postcard.	

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm Name	DUNLAP, CODDING & ROGERS, P.C.		
Signature			
Printed name	Christopher W. Corbett		
Date	12/27/06	Reg. No.	36,109

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I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below: *** SENT BY EXPRESS MAIL EV 812671901 US, 12/27/2006 ***

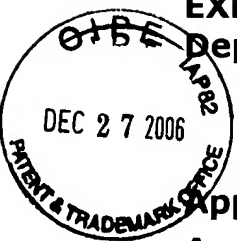
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Typed or printed name	Christopher W. Corbett	Date	12/27/06

This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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EXPRESS MAIL NO.: EV 812671901 US

Deposited On: December 27, 2006



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Application No. : 10/720,247 Confirmation No.: 4366
Applicant(s) : Daniel E. Resasco, Walter E. Alvarez, Jose E. Herrera and Leandro Balzano
Filed : 11/24/2003
TC/A.U. : 1754
Examiner : S. Hendrickson
Title : METHOD AND CATALYST FOR PRODUCING SINGLE WALLED CARBON NANOTUBES
Docket No. : 7356.005
Customer No. : 30589

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

FOURTH SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

**List of Sections Forming Part of This
Information Disclosure Statement**

The following sections are being submitted for this Information Disclosure Statement:

1. [X] Preliminary Statements
2. [X] FORM PTO-1449 (Modified)
3. [X] Statement as to Information Not Found in Patents or Publications
4. [X] Copies of Listed Information Items Accompanying this Statement
5. [X] Identification of Person(s) Making this Information Disclosure Statement

Section 1. Preliminary Statements

Applicants submit herewith patents, publications or other information of which they are aware, which they believe may be material to the examination of this application and in respect of which there may be a duty to disclose.

The filing of this information disclosure statement shall not be construed as a representation that a search has been made (37 C.F.R. § 1.97(g)), an admission that the information cited is, or is considered to be, material to patentability or that no other material information exists.

The filing of this information disclosure statement shall not be construed as an admission against interest in any manner. Notice of January 9, 1992, 1135 O.G. 13-25, at 25.

Section 2. Form PTO-1449 (Modified)

☒ [X] A completed Form 1449 (Modified) is attached hereto.

☐ [] No Form 1449 (Modified) is attached.

Section 3. Statement as to Information Not Found in Patents or Publications (Information Not Listed in Form PTO-1449)

Section 4. Copies of Listed Information Items Accompanying this Statement

Legible copies of all items listed in Form PTO-1449 (Modified) accompany this information disclosure statement.

☒ [X] Exceptions to the above:

☒ [X] As this application is being filed after June 30, 2003, no copies of cited U.S. patents or patent application publications are submitted herewith.

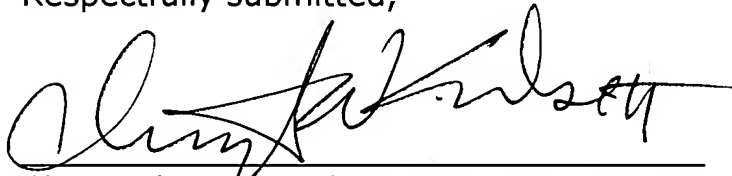
☒ [X] Regarding the foreign patents and publications and the non-patent documents listed, legible copies of such items are attached hereto.

Section 5. Identification of Person(s) Making this INFORMATION DISCLOSURE STATEMENT

The person making this statement is the attorney who signs below on the basis of the information:

- ☐ supplied by the inventor(s).
- ☐ supplied by an individual associated with the filing and prosecution of this application (37 C.F.R. § 1.56(c)).
- ☒ in the attorney's file.
- ☐ provided in the International Search Report cited herein.

Respectfully submitted,

A handwritten signature in black ink, appearing to read "Christopher W. Corbett", written over a horizontal line.

Christopher W. Corbett, Reg. No. 36,109
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Agent for Applicants

Express Mail: EV 812671901 US
Date Deposited: 12/27/2006



Page 1 of 1

Substitute for form 1449A/PTO

FOURTH SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(use as many sheets as necessary)

Complete if Known	
Application Number	10/720,247
Filing Date	11/24/2003
First Named Inventor	Daniel E. Resasco, et al.
Group Art Unit	1754
Examiner Name	S. Hendrickson
Attorney Docket Number	7356.005

U. S. PATENT DOCUMENTS

EXAM INIT.	Cite No. 1	U.S. PATENT NUMBER Number	Kind Code ² (if known)	Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM- DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear

FOREIGN PATENT DOCUMENTS

EXAM INIT.	Cite No. 1	Foreign Patent Document			Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines Lines, Where Relevant Passages or Relevant Figures Appear	T ⁶
		Office 3	Number 4	Kind Code ⁵ (if known)				

U.S. and Foreign: ¹Unique citation designation number. ²See attached Kinds of U.S. Patent Documents. ³Enter Office that issued the document, by the two-letter code (WIPO Standard St.3). ⁴Form Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵Kind of document by the appropriate symbols as indicated on the document under WIPO Standard St. 16 if possible. ⁶Applicant is to place a check mark here if English language Translation is attached.

NON PATENT DOCUMENTS

Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published

BAHR ET AL., "Functionalization of Carbon Nanotubes by Electrochemical Reduction of Aryl Diazonium Salts: A Bucky Paper Electrode," *J. Am. Chem. Cos.* Vol. 123 (2001) pp 6536-6542.

BUFFA ET AL., "Side-Wall Functionalization of Single-Walled Carbon Nanotubes with 4-Hydroxymethylaniline Followed by Polymerization of ϵ -Caprolactone," *Macromolecules*, Vol 38, No. 20 (2005) pp. 8258-8263.

DYKE ET AL., "Unbundled and Highly Functionalized Carbon Nanotubes from Aqueous Reactions," *NanoLetters*, Vol. 3, No. 9 (2003) pp. 1215-1218.

SAITO, ET AL., "Electronic structure of chiral graphene tubules," *Appl. Phys. Lett.* Vol. 60, No. 18 (May 4, 1992) pp. 2204-2206.

Non Patent Documents: ¹ Unique citation designation number. ² Applicant is to place a check mark here if English language Translation is attached.

Examiner Signature:

Date Considered:

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